



2811 \$

15.31/5631

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of: )  
TSUGANE et al. )  
Serial No. 09/759,715 )  
Filed: January 13, 2001 )  
For: SEMICONDUCTOR DEVICES AND METHODS )  
FOR MANUFACTURING THE SAME )

Group Art Unit: 2811

Examiner: Magee, Thomas J.

RECEIVED  
AUG 25 2003  
TC 2800 MAIL ROOM

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sirs:

In accordance with 37 CFR §§ 1.56, 1.97, and 1.98, enclosed please find Form PTO-1449 listing the attached references which might be deemed material to the examination of the above-identified application.

A. Non-English Language References

- ☐ Enclosed is a search report for a counterpart application. The search report Examiner has provided comments on the relevancy of any non-English language references cited in the search report.
- ☐ The specification incorporates comments on the relevancy of Non-English language references.
- ☐ Set forth below are comments provided by the applicant's home country counsel on the relevancy of non-English language references:
- ☒ The Notice of Reasons of Rejection for Japanese Patent Application 2000-005336 (from which priority is claimed for U.S. Application No. 09/759,715) cites the following Japanese patent references: JP09-232531, JP11-150248, and JP11-317503. The Notice of Reasons of Rejection for Japanese Patent Application 2000-005335 (from which priority is claimed for U.S. Serial No. 09/759,915) cites the following Japanese patent references cited on the attached form PTO-1449 including JP09-321242, JP09-232531, JP11-150248, JP11-330272, JP11-214656, JP11-074487, JP10-284702, and JP11-317503. An

English language abstract and computer generated translation (the accuracy of which is not certified) have been submitted for JP09-232531, JP09-321242, JP11-150248 and JP11-317503. English language abstracts have been submitted for JP10-284702, JP11-074487, JP11-214656, and 11-330272.

- B. ☐ The information disclosure statement submitted herewith is being filed
- 1) within three months of the filing date of a national application other than a continued prosecution application under 1.53(d);
  - 2) within three months of the date of entry into the national stage as set forth in 1.491 in an international application;
  - 3) before the mailing date of a first Office Action on the merits;
  - 4) before the mailing date of a first Office Action after filing of a Request for Continued Examination under 1.114; or
  - 5) before the mailing date of a first Office Action after filing of a Continued Prosecution Application.
- C. ☒ The information disclosure statement transmitted herewith is being filed *after* the period specified in paragraph B, but before the mailing date of a final action under 1.113, a Notice of Allowance under 1.311, or an action otherwise closing prosecution, and is accompanied by:
- 1) a Statement under 1.97(e); or
  - 2) a fee of \$180 as set forth in 1.17(p).
- D. ☐ The information disclosure statement transmitted herewith is being filed *after* the period specified in paragraph C, but before payment of the issue fee, and is accompanied by:
- 1) a Statement under 1.97(e); and
  - 2) a fee of \$180 as set forth in 1.17(p).

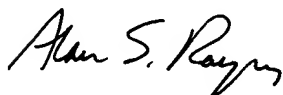
#### STATEMENT UNDER 1.97(e)

I, the person signing below, certify

- ☐ that each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement. 37 C.F.R. 1.97(e)(1).
- ☐ that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 1.56(c) more than three months prior to the filing of the statement. 37 C.F.R. 1.97(e)(2).

■ **Please charge any insufficiency or credit any overpayment to Deposit Account No. 50-0585.** A duplicate of this letter is enclosed for fee processing.

Respectfully submitted,



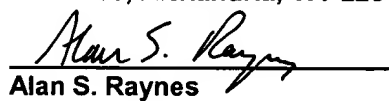
Alan S. Raynes  
Reg. No. 39,809

August 19, 2003  
Date

Konrad Raynes Victor & Mann, LLP  
315 South Beverly Drive, Suite 210  
Beverly Hills, CA 90212  
(310) 556-7983 (general tele)  
(310) 871-8448 (direct tele)  
(310) 556-7984 (fax)  
**Customer No. 24033**

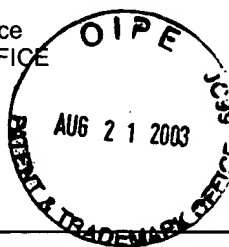
**Certificate of Mailing**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail on Aug. 19, 2003 and is addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



Alan S. Raynes

Aug. 19, 2003  
(Date)

FORM PTO-1449  
IREV. 7.801U.S. Department of Commerce  
PATENT AND TRADEMARK OFFICEAttorney Docket No.  
15.31/5631Serial No.  
09/759,715**INFORMATION DISCLOSURE STATEMENT**

(Use several sheets if necessary)

Applicant:  
TSUGANE et al.Filing Date  
1/13/01Group  
2811**U.S. PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Name	Class	Sub-Class	Filing Date if Appropriate
	6 0 7 7 7 4 2	6/20/00	Chen et al.			
	5 9 9 4 7 3 0	11/30/99	Shrivastava et al.			
	6 0 1 0 9 3 1	1/4/00	Sun et al.			
	6 1 3 7 1 7 9	10/24/00	Huang			
	6 0 2 5 6 2 0	2/15/00	Kimura et al.			
	5 7 4 7 3 8 5	5/5/98	Torii			
	6 2 4 2 2 9 6	6/5/01	Sun			12/15/98
	5 9 3 0 6 1 8	7/27/99	Sun et al.			
	6 0 7 4 9 0 8	6/13/00	Huang			
	6 3 5 3 2 6 9	3/5/02	Huang			1/14/00
	6 3 0 3 4 3 2	10/16/01	Horita et al.			10/4/99

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

U.S. Serial No. 09/742,474, having U.S. Patent Application Publication No. US2001/0005610 A1, published 6/28/01, filed 12/22/00.

U.S. Serial No. 09/915,660, having U.S. Patent Application Publication No. US2002/0025678 A1, published 2/28/02, filed 7/26/01 (Div of Appl. No. 09/484,786 filed 1/18/00).

Examiner

Date Considered

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449  
IREV. 7.801U.S. Department of Commerce  
PATENT AND TRADEMARK OFFICEAttorney Docket No.  
15.31/5630Serial No.  
09/759,715**INFORMATION DISCLOSURE STATEMENT**

(Use several sheets if necessary)

Applicant:  
TSUGANE et al.Filing Date  
1/13/01Group  
2811

RECEIVED  
AUG 25 2003  
C 2800 MAIL ROOM

**FOREIGN PATENT DOCUMENTS**

		Document Number							Date	Country	Class	Sub-Class	Translation	
													Yes	No
		09-	3	2	1	2	4	2	12Dec97	Japan			abst. + computer	
		09-	2	3	2	5	3	1	5Sep97	Japan			abst. + computer	
		11-	1	5	0	2	4	8	2Jun99	Japan			abst. + computer	
		11-	3	1	7	5	0	3	16NOV99	Japan			abst. + computer	
		10-	2	8	4	7	0	2	23OCT98	Japan			abst.	
		11-	0	7	4	4	8	7	16MAR99	Japan			abst.	
		11-	2	1	4	6	5	6	6AUG99	Japan			abst.	
		11-	3	3	0	2	7	2	30NOV99	Japan			abst.	

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

Notice of Reasons of Rejection for Japanese Patent Application No. 2000-005336 dated June 17, 2003 (which lists 09-232531, 11-150248, 11-317503 cited above).

Notice of Reasons of Rejection for Japanese Patent Application No. 2000-005335 dated June 17, 2003 (from which priority is claimed for U.S. Serial No. 09/759,915 and which lists the eight documents cited above).

Examiner

Date Considered

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.